

# Naval Inspector General



*Washington Navy Yard, DC*



*Conscience of the Navy...Making a Difference!*



# **Phase 3: Conduct the Investigation**

## **Writing the Report**

### **Enabling Learning Objectives**

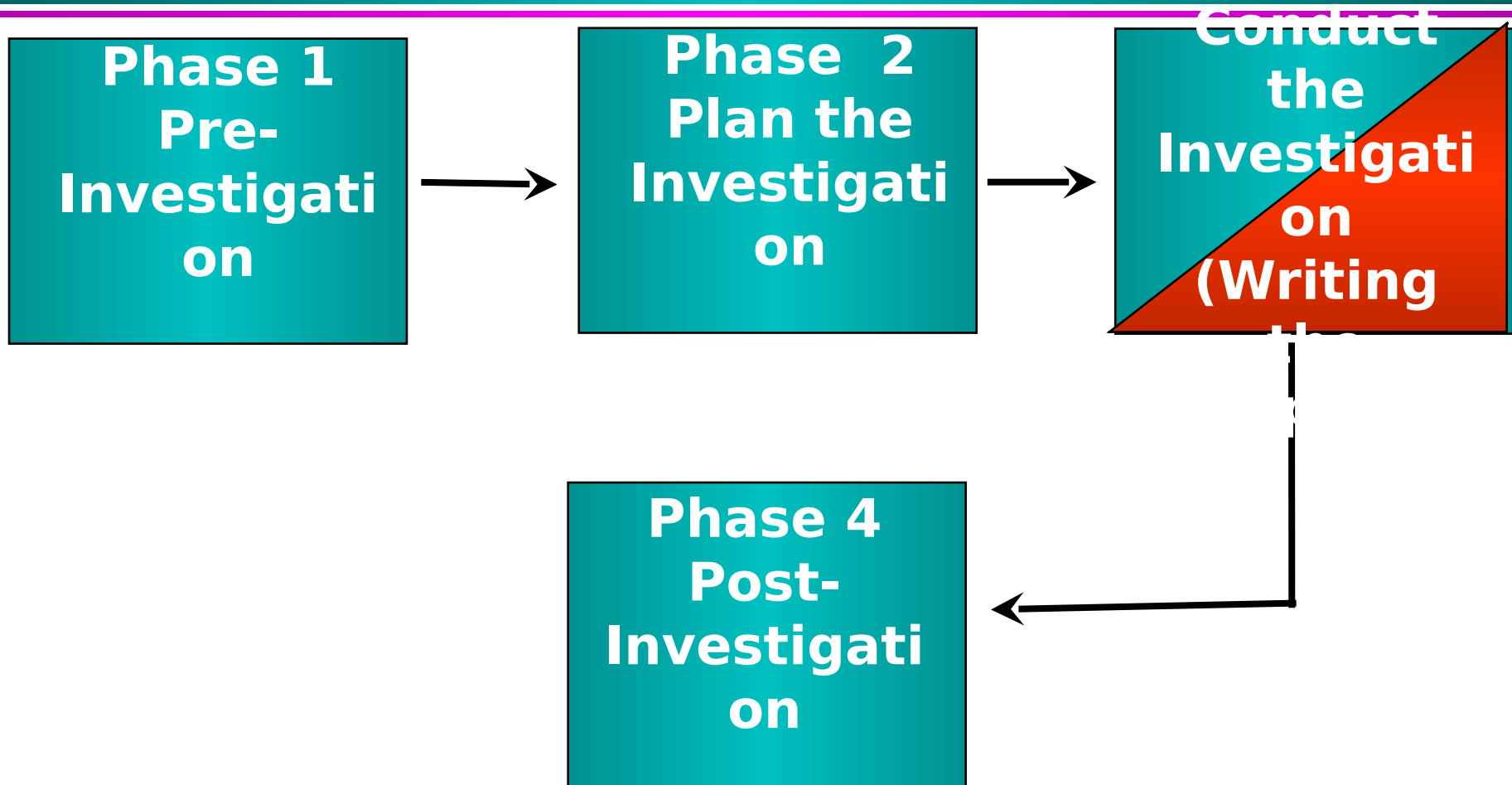
---

- Explain the purpose and characteristics of an Investigation Report
- Write a report using the correct report format
- Describe when to use an Investigation Report vice the Letter Report format



# Phase 3: Conduct the Investigation

## Complaint Resolution Procedure





# Naval Inspector General Complaint Resolution Procedure

## **Phase 1: Pre-Investigation**

**Receive the Complaint**  
**Analyze the Complaint**  
**Draft the Allegation(s)**  
**Determine the Action**  
**Notify the Complainant**

## **Phase 2: Plan the Investigation**

**Assign the IO**  
**Mentor the IO**  
**Prepare & Maintain the Plan**

## **Phase 3: Conduct the Investigation**

**Gather Information**  
**Interviewing**  
**Write the Report**

## **Phase 4: Post - Investigation**

**Conduct Quality Review of the Report**  
**Notify Complainant & Subject**  
**Prepare the Case File for Closing**



# Purpose of an IR

- Basis for judging the investigation
- Provides responsible authority information they need to make a decision





# Characteristics of a Good IR

- **Tells a Story**

- Who, What, When, Where, Why, How
- Allegations written in proper format
- Clear, accurate, and complete Facts
- Correct standards (rules, regulations, statutes)
- Mitigating circumstances



- **Stands Alone** – All relevant / material information is included in one report with no enclosures.

**Exception:** Military Whistleblower Reprisal Cases



# Characteristics of a Good IR



Complete and Organized

**Rule #1:**

**Address all tasked and any emerging allegations**

**Rule #2:**

**Present facts from the information you gathered  
and the documents, rules, regulations**

**Rule #3:**

**Explain, Explain, Explain**





# Characteristics of a Good IR

Clear and Logical



**Rule #1:**

**Use direct, clear language - active voice**

**Rule #2:**

**Logical flow from facts to conclusions**

**Rule #3:**

**Facts v. Opinions v. Assumptions v. Conclusions**





# Characteristics of a Good IR

## Proper Tone and Style

### **Rule #1:**

**Don't attack the complainant or conduct a witch hunt to determine who filed the complaint**

### **Rule #2:**

**Avoid emotional, judgmental words**



### **Rule #3:**

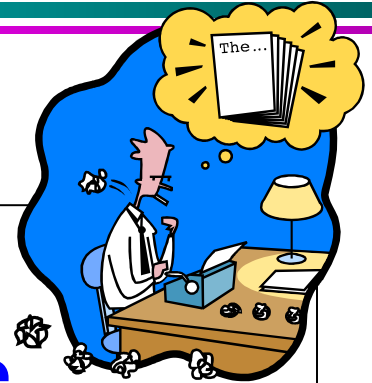
**Use the correct format, punctuation, and grammar**



# Characteristics of a Good IR

## Content of the Report

**Rule #1:**  
**Summarize redundant evidence**



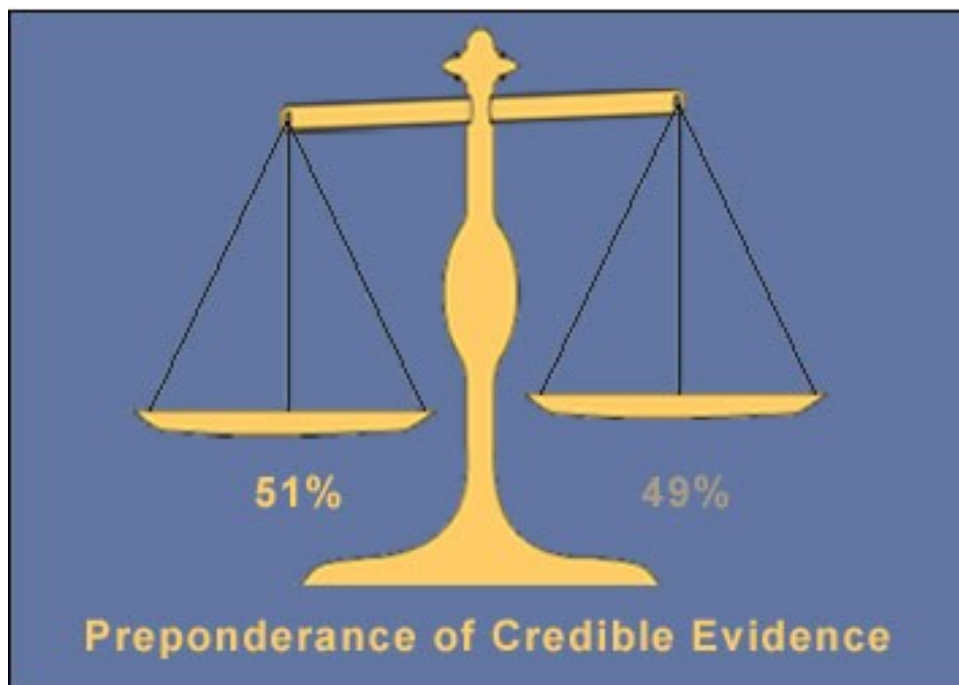
**Rule #2:**  
**Include only relevant information even if it doesn't support your conclusion**

**Rule #3:**  
**Address conflicting information - include both sides**



# Standard of Proof

Standard of proof is the degree of certainty you apply to the evidence to substantiate an allegation or not.





# IR Correct Format

- **Section 1:** Administrative Section
- **Section 2:** Background and Summary
- **Section 3:** First Allegation (Facts, Analysis, Discussion, Conclusion, Recommendations, Disposition)
- **Section 4:** Interviews / Documents List



# IR Correct Format

**Include this privacy notice  
in the footer of the IR**

**OFFICIAL USE ONLY - PRIVACY  
SENSITIVE**

Any misuse or unauthorized disclosure may  
result in both civil and criminal penalties



# **Section 1**

## **Investigators and Working Paper Location**

---

### **Section 1: Investigator's Identity and Location of Working Papers (Guide p. 6-6)**

- a. IO's name, rank/grade, title, organization, telephone #, and e-mail
- b. Location of working papers



# Section 2

## Background and Summary

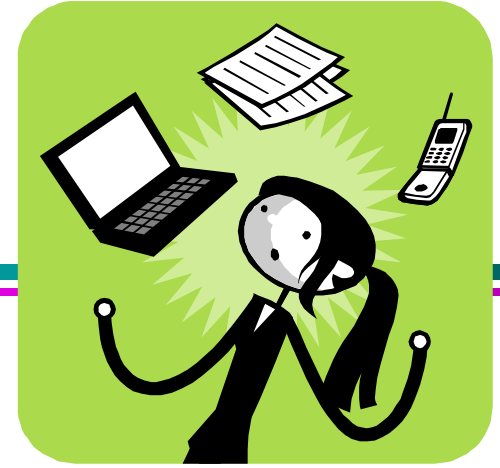
### Section 2: Background and Summary - (Guide p. 6-7)

- a. Hotline control #s, dates of receipt, and tasking dates
- b. Summary of the Complaint – in IO's own words
- c. Additional Information (Optional) – information you think will help the reader
- d. Summary of the Outcome of the Investigation
- e. Allegations List (Optional)





# Section 3 Facts



## Section 3: First Allegation

### a. Facts (Guide 6-9)

1. Taken from testimony, documents, and other evidence
2. Determine the order of presentation
3. No Opinions in the Fact Section – Just the Facts



# Section 3

## Analysis / Discussion / Conclusion



### Section 3: First Allegation

a. Facts

b. Analysis / Discussion / Conclusion (Guide 6-12)

1. Analyze how the standards apply to the testimony and documents
2. Explain and discuss the weight you assign to the evidence
3. Reconcile conflicting evidence
4. Include mitigating factors
5. Do not include new facts



# Section 3

## Recommendations

### Section 3: First Allegation

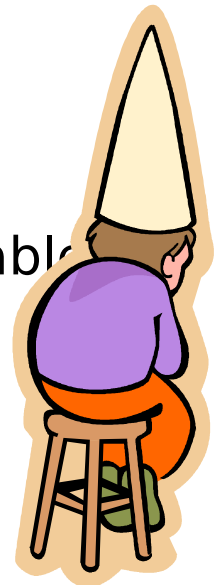
- a. Facts
- b. Analysis / Discussion / Conclusion
- c. **Recommendations (Guide 6-13)**

#### **Do** recommend administrative changes

- Rewrite instruction or hold training
- Systemic problems – fix the system
- Take appropriate action to hold subject accountable
- No further action required

#### **Do not** recommend specific:

- Adverse administrative action
- Disciplinary action





# Section 3 Disposition

## Section 3: First Allegation

- a. Facts
- b. Analysis / Discussion / Conclusion
- c. Recommendations (Guide 6-13)
- d. **Disposition (Guide 6-13)** - Report of action taken by **responsible authority** when the investigation substantiates an allegation



# Section 3 Disposition

1<sup>st</sup> scenario: **No substantiated allegations**

- None

2<sup>nd</sup> scenario: **Substantiated allegations** – IR completed and corrective action taken

- Action taken, who took the action & when

3<sup>rd</sup> scenario: **Substantiated allegations** – IR completed and corrective action pending

- Forwarded to higher authority for appropriate action



# **IR Correct Format Section 4 Interviews and Documents**

---

## **Section 4 - Interviews and Documents**

- List all interviews / documents you used
- Specify how interviews were conducted (telephone or in person)



# IR vice LR

- Investigation Report (IR) format – use for any investigation
- Letter Report (LR) format
  - Get approval from Echelon 2 IG
  - Clear and unequivocal – no exceptions
  - Do not need to weigh the evidence







# **Phase 3: Conduct the Investigation Writing the Report**

---

**Questions??**